

## Exemption from Random Audit

The form printed below has been approved by the North Carolina State Bar Council for use by attorneys seeking exemption from random audit. In order to be exempt, an attorney and his accountant must make the indicated certifications and the attorney must submit the completed form to the Secretary of the State Bar. The period required covered by the audit is 12 months. Exemptions are good for 15 months from the date the audit period was concluded.

### Certificate of Voluntary Audit

To: The Secretary of the North Carolina State Bar

Re: Trust Account(s) of \_\_\_\_\_, Attorney/Firm

Bank \_\_\_\_\_, Account Number \_\_\_\_\_

Bank \_\_\_\_\_, Account Number \_\_\_\_\_

(List additional accounts on a separate page)

The undersigned attorney hereby certifies personally and on behalf of any attorneys affiliated with his firm, whose names are listed and attached hereto, that the above account(s) is the only trust account(s) to which such attorney(s) has had access during the past year and, further, with respect to transactions occurring during the past year, that the following statements are true:

- 1) The trust account(s) is labeled as a trust account.
- 2) No funds belonging to the undersigned attorney, his law firm or any member thereof have been deposited or left in the trust account(s) except as permitted by Rule 1.15-2(f) of the Revised Rules of Professional Conduct.
- 3) Neither the undersigned attorney nor any member of his law firm has received any interest or other personal benefit from the funds of clients held in trust.
- 4) The trust account(s) and all subaccounts are in balance and have been reconciled with all bank statements received during the period in question.
- 5) No checks have been presented for payment against insufficient funds.
- 6) Notice concerning checks presented for payment against insufficient funds has been given to each bank pursuant to Revised Rule 1.15-2(k).
- 7) The trust account(s) has been maintained in accordance with the minimum record keeping requirements of Rule 1.15-3 of the Revised Rules of Professional Conduct.

This the \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_.

\_\_\_\_\_  
Attorney/Firm

Sworn to and subscribed to before me this the \_\_\_\_\_ day  
of \_\_\_\_\_, 200\_\_\_\_.

by \_\_\_\_\_

\_\_\_\_\_  
Notary Public

The undersigned certified public accountant hereby certifies that on \_\_\_\_\_, 200\_\_\_\_, having first become familiar with amended Rules 1.15-1, 1.15-2 & 1.15-3 of the North Carolina State Bar Revised Rules of Professional Conduct, s/he conducted a limited procedural audit of the above trust account(s) relative to transactions occurring during the past year, made inquiries of the subject attorneys and their employees and conducted such tests of the account(s) as were deemed appropriate and necessary to ascertain compliance with those provisions of the above rules dealing with the handling of funds on behalf of clients. Based upon the foregoing, the undersigned is of the opinion that the subject attorney(s) is in substantial compliance with those provisions. This audit was conducted for the following 12 month period: \_\_\_\_\_, 200\_\_\_\_ to \_\_\_\_\_, 200\_\_\_\_.

This the \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_\_\_.

\_\_\_\_\_  
Certified Public Accountant

Sworn to and subscribed to before me this the \_\_\_\_\_ day  
of \_\_\_\_\_, 200\_\_\_\_.

by \_\_\_\_\_

\_\_\_\_\_  
Notary Public